



PTO/SB/08a/b (08-03)
 Approved for use through 07/31/2008. OMB 0651-0031
 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substituta for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Complete if Known		
			Application Number	10/014,112	
			Filing Date	December 11, 2001	
			First Named Inventor	Harold A. Ludtke	
			Art Unit	3621	
			Examiner Name	S. A. Cangialosi	
Sheet	1	of	3	Attorney Docket Number	SONY 3.0-020

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
SC	AA	US-2002/0147914	10-10-2002	Arnold	
SC	AB	US-3,741,214	01-10-2001	smith	
SC	AC	US-4,766,293	08/1988	Boston, Vincent	
SC	AD	US-5,056,019	10-08-1991	Schultz, et al.	
SC	AE	US-5,173,851-A	12/1992	OFF ET AL.	
SC	AF	US-5,256,863-A	10/1993	FERGUSON ET AL.	
SC	AG	US-5,436,972	07-25-1995	Fischer	
SC	AH	US-5,537,314	07-16-1996	MARK W. KANTER	
SC	AI	US-5,545,139	08-13-1996	Kriesel	
SC	AJ	US-5,557,541	09-17-1996	Schulhof et al.	
SC	AK	US-5,561,709	10-01-1996	Remillard	
SC	AL	US-5,650,761	07/1997	Gomm et al.	
SC	AM	US-5,710,887	01-20-1998	Chelliah, et al.	
SC	AN	US-5,734,838	03-31-1998	Robinson, et al.	
SC	AO	US-5,778,068	07-07-1998	Johnson et al.	
SC	AP	US-5,809,212	09-15-1998	Shasha	
SC	AQ	US-5,815,665	09-29-1998	Teper et al.	
SC	AR	US-5,825,876	10-20-1998	Peterson, Jr.	
SC	AS	US-5,878,139	03-02-1999	Rosen	
SC	AT	US-5,878,235	03-02-1999	Porterfield et al.	
SC	AU	US-5,884,271	03-16-1999	Pitroda	
SC	AV	US-5,884,272	03-16-1999	Walker et al.	
SC	AW	US-5,892,900	04-06-1999	Ginter et al.	
SC	AX	US-5,897,622	04-27-1999	Blinn, et al.	
SC	AY	US-5,915,022-A	06/1999	ROBINSON ET AL.	
SC	AZ	US-5,923,016	07-13-1999	Fredregill, et al.	
SC	AA1	US-5,926,624	07-20-1999	Katz et al.	
SC	AB1	US-5,926,798	07-20-1999	Carter	
SC	AC1	US-5,948,040	09-07-1999	DeLorme, et al.	
SC	AD1	US-5,956,699	09-21-1999	Wong et al.	
SC	AE1	US-5,966,704	10-12-1999	Furegati et al.	
SC	AF1	US-6,000,832	12-14-1999	Franklin et al.	
SC	AG1	US-6,003,014	12/1999	Lee et al.	
SC	AH1	US-6,006,200	12-21-1999	Boies et al.	
SC	AI1	US-6,009,415	12-28-1999	Shurling, et al.	
SC	AJ1	US-6,012,039	01-04-2000	Hoffman, et al.	
SC	AK1	US-6,016,476	01-18-2000	Maes et al.	
SC	AL1	US-6,018,724	01-25-2000	Arent	
SC	AM1	US-6,023,679	02-08-2000	Acebo, et al.	
SC	AN1	US-6,047,268	04-04-2000	Bartoli et al.	
SC	AO1	US-6,047,269	04-04-2000	Biffar	
SC	AP1	US-6,076,075	06/2000	Teicher, Mordechai	
SC	AQ1	US-6,078,891-A	06/2000	RIORDAN ET AL.	
SC	AR1	US-6,085,178	07-04-2000	Bigus et al.	
SC	AS1	US-6,088,731	07-11-2000	Kiraly et al.	
SC	AT1	US-6,128,602	10-03-2000	Northington et al.	
Examiner Signature	S. Cangialosi			Date Considered	6/05

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
				Application Number	10/014,112
				Filing Date	December 11, 2001
				First Named Inventor	Harold A. Ludtke
				Art Unit	3621
				Examiner Name	S. A. Cangialosi
Sheet	2	of	3	Attorney Docket Number	SONY 3.0-020

SC	AU1	US-6,129,274-A	10/2000	SUZUKI, HIKANU	
SC	AV1	US-6,138,911	10-31-2000	Fredregill, et al.	
SC	AW1	US-6,141,754	10-31-2000	Choy	
SC	AX1	US-6,148,241	11-14-2000	Ludtke et al.	
SC	AY1	US-6,151,600-A	11/2000	DEDRICK, RICK	
SC	AZ1	US-6,163,772	12-19-2000	Kramer, et al.	
SC	AA2	US-6,226,618	05-01-2001	Downs et al.	
SC	AB2	US-6,279,112-B1	08/2001	OTOOLE ET AL.	
SC	AC2	US-6,282,653	08-28-2001	Berstis et al.	
SC	AD2	US-6,356,905	03-12-2002	Gershman et al.	
SC	AE2	US-6,366,953	04-02-2002	Inoue	
SC	AF2	US-6,370,629	04-09-2002	Hastings et al.	
SC	AG2	US-6,434,535	08-13-2002	Kupka et al.	
SC	AH2	US-6,529,885	03-04-2003	Johnson	
SC	AI2	US-6,556,976	04-29-2003	Callen	
SC	AJ2	US-6,574,607	06-03-2003	Carter et al.	
SC	AK2	US-6,578,014	06-10-2003	Murcko, Jr.	
SC	AL2	US-6,592,044	07-15-2003	Wong et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code ² -Number ³ -Kind Code ⁴ (if known)				
	BA	TW-87407650		02-01-1999	Ritter	
	BB	TW-351799		02-04-1999	Rudolf Ritter	
	BC	EP-0917119A2		05-19-1999		

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
SC	CA	U.S. Patent Application No. 10/014,112, filed December 11, 2001, entitled "System And Method For Conducting Secure Transactions Over A Network".	
SC	CB	U.S. Patent Application No. 10/015,070, filed December 11, 2001, entitled "Method And System Of Conducting Network-Based Transactions".	
SC	CC	U.S. Patent Application No. 09/483,584, filed December 11, 2000, entitled "Secure Electronic Commerce System".	
	CD	DRURY, Demand Jumps For High-Tech ID Producer; Business First, 22 October 2001, Vol. 18, No. 3, page 1.	
	CE	PACK: Traditional Retailers Plan Interactive Stores; Orlando Sentinel, May 25, 1995.	
SC	CH	U.S. Patent Application No. 10/014,960, filed December 11, 2001, entitled "Method And System For Executing Deferred Transactions".	
SC	CK	Co-pending Patent No. 09/466,965, Authentication System, Fingerprint Identification Unit, and Authentication Method, filed December 20, 1999.	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered.

Examiner Signature	S. Cangialosi	Date Considered	6/05
--------------------	---------------	-----------------	------

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

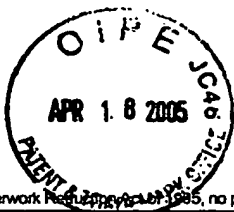
Substitute for form 1449A/B/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Application Number	10/014,112
				Filing Date	December 11, 2001
				First Named Inventor	Harold A. Ludtke
				Art Unit	3621
				Examiner Name	S. A. Cangialosi
Sheet	3	of	3	Attorney Docket Number	SONY 3.0-020

considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached.

560306_1.DOC

Examiner Signature	S. Cangialosi	Date Considered	6/05
-----------------------	---------------	--------------------	------



PTO/SB/08a/b (08-03)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Project of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
				Application Number	10/014,112
				Filing Date	December 11, 2001
				First Named Inventor	Harold A. Ludtke
				Art Unit	3621
				Examiner Name	S. A. Cangialosi
Sheet	1	of	1	Attorney Docket Number	SONY 3.0-020

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
JC	AA	US-2001/00449061-A1	11-22-2001	KANEVSKY et al.	
JC	AD	US-5,280,527	01/1994	Gullman et al.	
JC	AU	US-6,167,517	12-26-2000	Gilchrist et al.	
JC	AV	US-6,269,348-B1	07-31-2001	Pare, Jr. et al.	
JC	AW	US-6,270,011-B1	08-07-2001	Gottfried	
JC	AZ	US-6,615,264-B1	09-02-2003	Stoltz et al.	
JC	AA1	US-6,662,166-B2	12-09-2003	Pare, Jr. et al.	

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

556410_1.DOC

Examiner Signature	S. Cangialosi	Date Considered	6/05
--------------------	---------------	-----------------	------